

A panoramic view of a city skyline, likely New York City, featuring several prominent skyscrapers under a cloudy sky. The buildings are rendered in a blue-tinted, slightly desaturated style.

# New Grantee Workshop

Federal Transit Administration

U.S. Department of Transportation

Washington, DC



# Workshop Objectives

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- Provide an Overview of . . .
  - FTA and its Programs
  - Grant Application Process
  - Grant Management
  - FTA Resources
  - Triennial Review Process
- Answer Your Questions



# Overview of FTA



# FTA Organization

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FTA Administrator  
Deputy Administrator

Office of  
Communications &  
Congressional Affairs

Office of  
Civil Rights

Assoc. Adm.  
Planning

Assoc. Adm.  
Research, Demon.  
& Innovation

Office of  
Chief Counsel

Assoc. Adm.  
Budget & Policy

Assoc. Adm.  
Program Mgmt.

Assoc. Adm.  
Administration

Regional &  
Metro Offices

# Regional Office Organization

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Office of the  
Regional Administrator

Chief Counsel  
in DC

Office of  
Civil Rights in DC

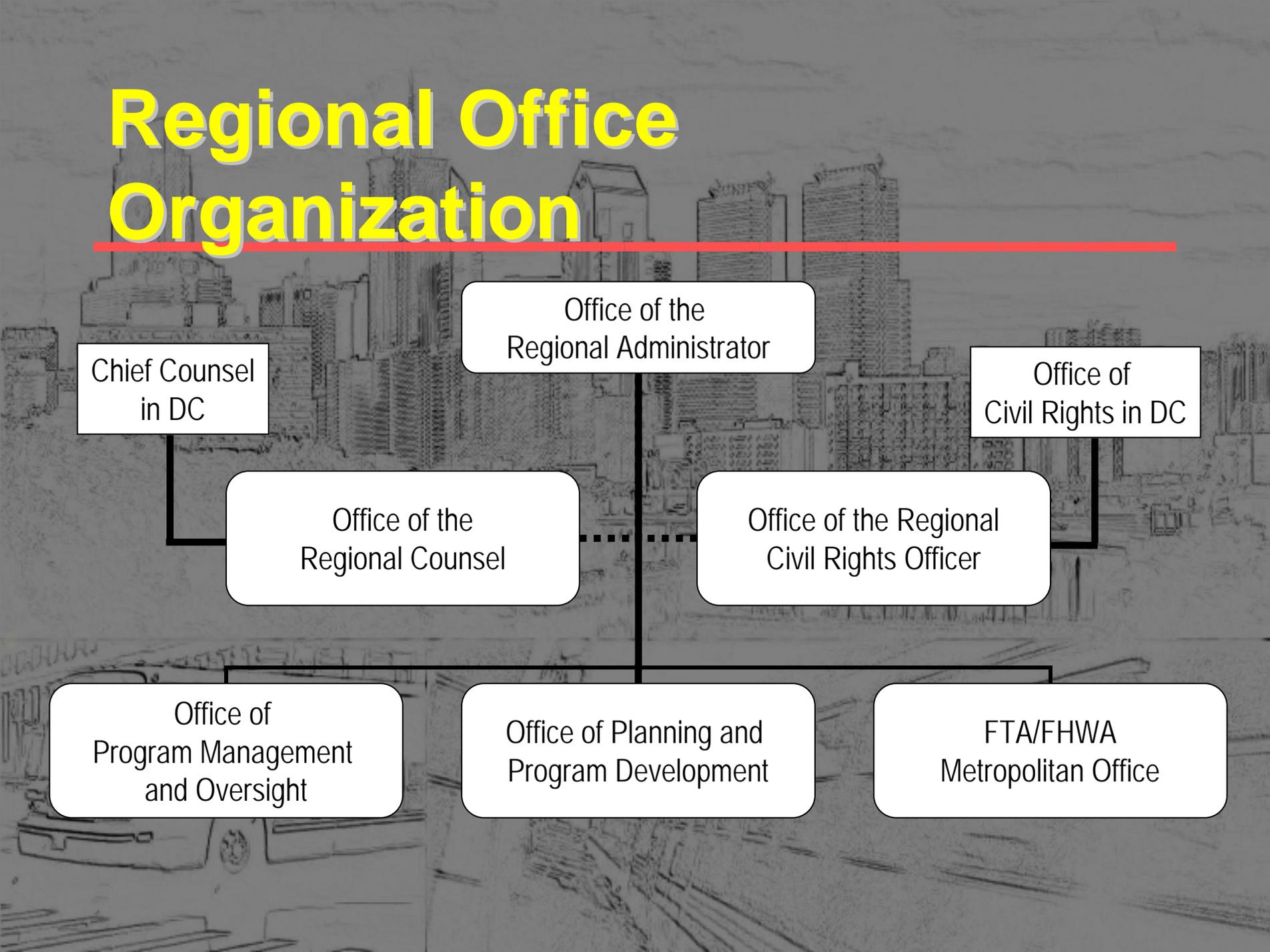
Office of the  
Regional Counsel

Office of the Regional  
Civil Rights Officer

Office of  
Program Management  
and Oversight

Office of Planning and  
Program Development

FTA/FHWA  
Metropolitan Office



# FTA Grant Programs

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- Section 5307 – Urbanized Area Formula Grants
- Section 5311 – Other-than-Urbanized Formula Program/Tribal Transit Program
- Section 5316 – Job Access and Reverse Commute
- Section 5317 – New Freedom Formula Program
- Section 5310 – Elderly and Disabled Formula Grants
- Section 5309 – New Starts and Capital Grants
- Section 5320 – Transit in the Parks Discretionary

# Section 5307 – Urbanized Area Formula Grants

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- Grants awarded to Designated Recipients
- Funds (may include Section 5340) available the year apportioned plus 3 years
- Used for public transportation activities
  - Planning projects
  - Capital projects
  - Operating expenses (small urban areas only)

# Section 5307 – Urbanized Area Formula Grants

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- Funding Ratios

- Capital: 80% federal and 20% local
- CAA Amendments Compliance and ADA
  - Equipment only: 90/10
  - Rolling Stock with equipment: 83/17
- Bicycle-to-transit access: 90/10
- Transit enhancement: 80/20
- Operating Assistance: 50/50
- Security: 80/20

# Section 5307 – Urbanized Area Formula Grants

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- Local Share can include:
  - Cash (or in-kind contribution)
  - Non-Federal funds
  - Certain Federal funds (e.g., non-DOT funds)
  - Non-farebox revenues from transit operations (e.g., advertising and concession revenues)
  - Real property integral to the project

# Section 5309 – New Starts and Capital Grants Program

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- Grants awarded as earmarks
- Funds available the year apportioned plus 2 years
- Used for public transportation capital activities
  - New Starts/Small Starts
  - Bus Acquisitions/Facilities Construction and Renovations

# Section 5309 – New Starts and Capital Grants Program

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- Funding Ratios

- New Starts: varies depending on project size and other factors
- Small Starts
- Bus Acquisitions / Facilities Projects : 80% federal and 20% local

# Section 5309 – New Starts and Capital Grants Program

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- Local Share can include:
  - Cash (or in-kind contribution)
  - Non-Federal funds
  - Certain Federal funds (e.g., non-DOT funds)
  - Non-farebox revenues from transit operations (e.g., advertising and concession revenues)
  - Real property integral to the project

# Oversight Activities

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- Annual Grantee Assessment
  - Performed by the Regional Offices
  - Determines Level of Oversight
- Assessment Areas
  - Grant Administration
  - Grantee Profile
  - Property Management
  - Financial Management
  - Procurement Management

# Oversight Activities

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- **Assessment Areas (continued)**
  - Technology Deployment
  - Safety and Security
  - Planning
  - Civil Rights
- **Rating Determines Level of Oversight**
  - Low, Medium or High
  - Specialty Reviews May Result

# Oversight Activities

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- **General Reviews**
  - Triennial Review
    - Mandated by Law
    - Covers Broad Range of Requirements
  - State Management Review
    - Conducted on States only
    - Used to determine States compliance with FTA Requirements
- **Program Specific Reviews**
  - Procurement System
  - Financial Management

# Oversight Activities

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- Safety and Security
  - Drug and Alcohol Program
  - Security – Readiness Assessment
  - State Safety
- Civil Rights
  - Americans with Disabilities Act (ADA)
    - Key Station
    - Fixed Route
    - Complementary Paratransit
  - Disadvantaged Business Enterprise
  - Equal Employment Opportunity (EEO)
  - Title VI

# Oversight Activities

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- Project Level Reviews
  - Project Management Oversight
  - Financial Capacity Assessments



# Planning for a Grant Project



# Grant Program Prerequisites

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- Legal Authority
- Authorizing Resolution
- Certifications and Assurances
- Identify Agency Needs
- Planning Processes
  - Local Transportation Improvement Plan
  - Statewide Transportation Improvement Plan
  - Unified Planning Work Program

# Grant Program Prerequisites

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- Environmental Analysis
  - Categorical Exclusions
  - Environmental Assessment
  - Environmental Impact Statements
- Section 106 Historic Properties and Parklands . . . Coordination with historic preservation officer (state & tribal)
- Other Environmental Requirements May Also Apply

# TEAM-Web

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- Transportation Electronic Award and Management System
  - File Certifications and Assurances
  - Apply for Grants
  - Manage Grants: Financial and Progress reporting
  - Review Grant Status



**Federal Transit Administration**  
United States Department of Transportation

# TEAM



Choose one:

**TEAM-Web** **TEAM Reports**

[Regions](#) [Links](#) [News](#) [Staff](#)

[\[If you're having trouble logging into TEAM-Web, Click Here.\]](#)

### Welcome to TEAM-Web!

#### LOGIN

User Name:

Password:

Database:

Change Password.

Login

Reset

#### SECURITY NOTICE

This web site is part of a Federal computer system used to accomplish Federal functions. The Department of Transportation uses software programs to monitor this web site for security purposes to ensure it remains available to all users and to protect information in the system. By accessing this web site, you are expressly consenting to these monitoring activities. Unauthorized attempts to defeat or circumvent security features, to use the system for other than intended purposes, to deny service to authorized users, to access, obtain, alter, damage, or destroy information, or otherwise to interfere with the system or its operation is prohibited. Evidence of such acts may be disclosed to law enforcement authorities and result in criminal prosecution under the Computer Fraud and Abuse Act of 1984, as amended codified at section 1030 of Title 18 of the United States Code, or other applicable criminal laws.

Main Menu - (Home)

[-] Recipients

View/Modify Recipient

[-] Applications

Create New Project

Copy Project

Assign Project Number

Application Reviewer

Submit Application

Create Amendment

View/Print

[-] Modify Application

[-] Review and Approval

[-] Execution

[-] Project Management

Financial Status Report

Milestones/Progress

Revise Project Budget

Project Funds/Status

FPC Transfer

New CloseOut Process

Project Info

[-] Funds Control

[-] Funding Adjustments

[-] Civil Rights

[-] TEAM Administration

[-] Dynamic Query

[-] TEAM Documentation

Help Desk Information

Exit

Click here to go to  
Certifications and  
Assurances

**NOT**

[FY 2006 Certifications and Assurances are now available in TEAM](#)

**NOTICE:**

**The final FTA Account Classification Code report (Final FTA8011) for FY2005 has been posted on the TEAM reports site. This report indicates the valid codes that are available for CARRYOVER funds in FY2006.**

**NOTICE:**

**The Financial Status Report and Milestone Progress Report screens are available. Any user that needs to file a report during Year End Close can do so.**

**NOTICE:**

[As you log in to the FTA](#)

**NOTICE:**

### Recipient Query Results

- Main Menu - (Home)
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ID	Recipient	City	State	Cost Center
				78600

**View / Modify Recipient**

Organization: 1234 ABC Transit

Cat	Description	Applicable	N/A	Cert Date	Text
01	FOR EACH APPLICANT	<input type="checkbox"/>	<input type="checkbox"/>		
02	LOBBYING CERTIFICATION	<input type="checkbox"/>	<input type="checkbox"/>		
03	PROCUREMENT COMPLIANCE	<input type="checkbox"/>	<input type="checkbox"/>		
04	PRIVATE PROVIDERS OF PUBLIC TRANSPORTATI	<input type="checkbox"/>	<input type="checkbox"/>		
05	PUBLIC HEADING	<input type="checkbox"/>	<input type="checkbox"/>		

**Affirmation of Certifications and Assurances**

FEDERAL FISCAL YEAR 2006 FTA CERTIFICATIONS AND ASSURANCES SIGNATURE PAGE  
(Required of all Applicants for FTA assistance and all FTA Grantees with an active capital or formula project)

AFFIRMATION OF APPLICANT

Name of Applicant: ABC Transit

Name and Relationship of Authorized Representative:

Official's Name:  PIN:  **CERTIFY**

Attorney's Name:

Phone:  Ext:  Fax:

Website:

1. Select applicable certifications



2. Enter PIN of Authorized Official and Attorney



# Grant Application Process



# Sample Agency Description

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- **ABC Transit**
  - Population: 85,000
  - Number of Vehicles: 50 total, 42 peak
  - Type of Agency: Transit Authority
- **Agency Needs**
  - Rolling Stock (Bus) Purchase
  - Preventive Maintenance
  - Planning

# ABC's Grant Projects & Budgets

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- Available 5307 Funds: \$858,750
- Rolling Stock (Bus) Purchase
  - Expansion: two 40-foot buses
  - Total Cost - \$625,000; FTA Amount - \$518,750
- Preventive Maintenance
  - Total Cost - \$375,000; FTA Amount - \$300,000
- Planning
  - Total Cost - \$50,000; FTA Amount - \$40,000

# Grant Application

---

- FTA Circular 9030.1C
- Application Process – TEAM-Web
  - Project Information
  - Budget
  - Milestones
  - Environmental Findings
  - Fleet Status
  - Security
  - Description for Earmarks
  - FTA Review

- Main Menu - (Home)
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  - Create New Project**
  - Copy Project
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- Exit

### Create New Project

New Project Detail | Project Description

Recipient ID: 1234 - ABC Transit  
ABC Transit

TX 75000 - 0

Enter a requested Project Number (FTA will approve or reassign):

Project Number:	FY06 5307
Section of Statute:	49 USC 5307 - Urbanized Area Formula
Brief Description:	FY06 Rolling Stock, PM, Planning
Program Date:	12/1/05
Fiscal Year:	2006

Proposed Environmental Classifications:

Class I (EIS):	<input checked="" type="radio"/> No <input type="radio"/> Yes	Class II (CE):	<input checked="" type="radio"/> No <input type="radio"/> Yes
Class III (EA):	<input checked="" type="radio"/> No <input type="radio"/> Yes	Other [4(f).106]:	<input checked="" type="radio"/> No <input type="radio"/> Yes

1. Select Create New Project

4. Click here to enter more detailed description

3. Select Environmental Classification

2. Enter Project Number, Section, Brief Description and Program Date

Main Menu - (Home)

- [-] Recipients
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### Create New Project



New Project Detail | Project Description

Recipient ID: 1234 - ABC Transit

ABC Transit

1520 Main Street

Anywhere , TX 75000 - 0

5. Click OK when finished

#### Project Description

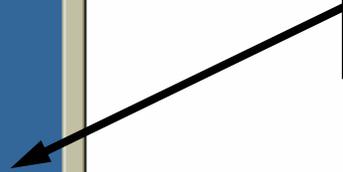
Grant funds to be used to purchase two, 40-foot transit buses, for FY06 preventive maintenance expenses, and planning to complete FY06 through FY11 Short Range Transit Plan. Funding from the FY06 apportionment.

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- Exit

### Project Query Results

Project Number	Description	Rev.
FY06 5307 FUNDS	FY06 Rolling Stock, PM and Planning	0

Under Modify Application, select Project Information



### Project Details

<b>Project Number:</b>	FY06 5307 FUNDS	FY2006	<b>Cost Center:</b>	660-00	
<b>Application Type:</b>	Electronic			<b>Submitted:</b>	
<b>Entered:</b>	1/7/2006			<b>Awarded:</b>	
<b>Recip. Contact:</b>				<b>Executed:</b>	
<b>FTA Manager:</b>				<b>FTA Amount:</b>	\$0.00
<b>Status:</b>	Pending Submission/App. in Development			<b>Total Elig. Cost:</b>	\$0.00
<b>Description:</b>	FY06 Rolling Stock, PM and Planning				
<b>Recipient:</b>	1234	ABC Transit			

- Main Menu - (Home)
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- Exit

Project Number	Description	Rev.
FY06 5307 FUNDS	FY06 Rolling Stock, PM and Planning	0

Project Information

General | **Control Totals** | UZA/Cong Dist | Earmarks | Security

Recipient: 1234 ABC Transit

Project: FY06 5307 FUN FY06 Rolling Stock, PM, Planning

Project Type: Grant Award

New/Amendment: New

Amend Reason: Initial Application

Recip. Type: Other Nonprofit Organization

Sec of Statute: 49 USC 5307 - Urbanized Area Formula

Fed Dom Asst#: 20.507 - Federal Transit Formula Grants

FTA Proj Mgr: Linda Kemp

Recip Contact: Jane Doherty

State Appl ID:

Est Start/End: 1/1/06 - 12/31/08

Rec by State:

EO 12372 Review:  Yes  No  N/A

Contract No:

Rev Date:

Planning Grant:  Yes  No

Program Date: 7/1/2005

Program Page:

Application Type:  Paper  Elect

Supplemental Agreement:  Yes  No

Project Description

2. Click on Control Totals tab

1. Edit fields as necessary

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### Project Query Results

Project Number	Description	Rev.
FY06 5307 FUNDS	FY06 Rolling Stock, PM and Planning	0

Project Information

General | Control Totals | UZA/Cong Dist | Earmarks | Security

Recipient: 1234 ABC Transit

Project: FY06 5307 FUN FY06 Rolling Stock, PM and Planning

	Amendment	Project	
Gross Project Cost:	\$1,050,000.00	\$1,050,000.00	Special Condition
Adjustment Amt:	\$0.00	\$0.00	Spec Cond Tgt
Total Eligible Cost:	\$1,050,000.00	\$1,050,000.00	Spec Cond Eff Date:
Total FTA Amount:	\$858,750.00	\$858,750.00	Fed Oblig Date:
Total State Amount:	\$95,625.00	\$95,625.00	Pre-Award Authority:
Total Local Amount:	\$95,625.00	\$95,625.00	Fed Debt Delinquent:
Other Federal Amt:	\$0.00	\$0.00	Final Budget:
Special Cond Amount:	\$0.00	\$0.00	

Federal Debt Delinquency Detail

0.00  
0.00

3. Enter control totals



- Main Menu - (Home)
- [-] Recipients
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### Project Query Results

Project Number	Description	Rev.
FY06 5307 FUNDS	FY06 Rolling Stock, PM and Planning	0

Project Information

General | Control Totals | UZA/Cong Dist | Earmarks | **Security**

Recipient: 1234 ABC Transit

Project: FY06 5307 FUN FY06 Rolling Stock, PM and Planning

	Amendment	Project	
Gross Project Cost:	\$1,050,000.00	\$1,050,000.00	Special Condition: None
Adjustment Amt:	\$0.00	\$0.00	Spec Cond Tgt Date:
Total Eligible Cost:	\$1,050,000.00	\$1,050,000.00	Spec Cond Eff Date:
Total FTA Amount:	\$858,750.00	\$858,750.00	Est Oblig Date:
Total State Amount:	\$95,625.00	\$95,625.00	Pre-Award Authority: <input type="radio"/> Yes <input checked="" type="radio"/> No
Total Local Amount:	\$95,625.00	\$95,625.00	Fed Debt Delinquent: <input type="radio"/> Yes <input checked="" type="radio"/> No
Other Federal Amt:	\$0.00	\$0.00	Final Budget: <input type="radio"/> Yes <input checked="" type="radio"/> No
Special Cond Amount:	\$0.00	\$0.00	

**Federal Debt Delinquency Detail**

4. Select the "Security" tab

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Project Number	Description	Rev.
FY06 5307 FUND	FY06 Rolling Stock, PM and Planning	0

Project Information

General Control Totals UZA/Cong Dist Earmarks Security

Recipient: 1234 ABC Transit

Project: FY06 5307 FUN FY06 Rolling Stock, PM and Planning

Please select Yes or No below.

- Yes – We will expend 1% or more of the 5307 funds in this grant application for security purposes. Please list security-related projects in the project budget and summarize them in the non-add scope code 991.
- No – We will not expend at least 1% of the 5307 funds in this grant application for security purposes.

- 1. No Deficiency found from threat/vulnerability assessment.
- 2. Top 20 Security Action items met.
- 3. Other, please describe below.

Recipient: 5280 - MUNDLE AND ASSOCIATES, INC

6. Click OK when finished

5. Indicate whether one percent of 5307 funds will be spent for security purposes

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### Project Query Results

Project Number	Description	Rev.
FY06 5307 FUND	FY06 Rolling Stock, PM and Planning	0

Project Information

DELETED | [User Icon] | [Print Icon] | [Refresh Icon] | [Cancel Icon] | [OK Icon]

General | Control Totals | UZA/Cong Dist | **Earmarks** | Security

Recipient: 1234 ABC Transit

ABC Transit

Project: FY06 5307 FUN FY06 Rolling Stock, PM and Planning

Talking Points Overview:

Talking Points:

Place of Performance:

Congressional Interest Expressed by:

Earmark Details: [Search Icon]

Earmark ID	Earmark Name	Orig. Balance	Unobligated	Amount Applied
				\$0.00
				\$0.00

Send through Release Process

**Note:**  
 For Earmarks (Section 5309 grants), grantees should enter relevant information for their Congressional representatives under this tab.

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- Exit

### Project Query Results

Project Number	Description	Rev.
FY06 5307 FUNDS	FY06 Rolling Stock, PM and Planning	0

Click here to modify project budget

Control Totals appear here

#### Project Details

<b>Project Number:</b>	FY06 5307 FUNDS	FY2006	<b>Cost Center:</b>	660-0	
<b>Application Type:</b>	Electronic			<b>Submitted:</b>	
<b>Entered:</b>	1/7/2006			<b>Awarded:</b>	
<b>Recip. Contact:</b>				<b>Executed:</b>	
<b>FTA Manager:</b>				<b>FTA Amount:</b>	\$858,750.00
<b>Status:</b>	Pending Submission/App. in Development			<b>Total Elig. Cost:</b>	\$1,050,000.00
<b>Description:</b>	FY06 Rolling Stock, PM and Planning				
<b>Recipient:</b>	1234	ABC Transit			

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### Project Query Results

Project Number	Description	Rev.
FY06 5307 FUNDS	FY06 Rolling Stock, PM and Planning	0

https://ftateamweb.fta.dot.gov - TEAM-Web ( Training Database ) Budget Detail : FY06 5307 FUNDS - Mic...

#### BUDGET( FY06 5307 FUNDS )

PRJBUD	PROJECT CONTROL TOTALS:		0	\$858,750.00	\$1,050,000.00
OTHER	DIFFERENCE:		0	\$858,750.00	\$1,050,000.00

1. Click "ADD" to begin a new budget

Scope/ALI:

Std. Desc:

User Desc:

Fuel:

Reviewer Messages: 

This budget has no scopes. It must have at least one scope.

**Details:**

### Project Query Results

Project Number	Description	Rev.
FY06 5307 FUNDS	FY06 Rolling Stock, PM and Planning	0

- Main Menu - (Home)
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  - Environment
  - Fleet
  - Application
  - Comments
- Review and Approval
  - Execution
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  - Help Desk Information
- Exit

https://ftateamweb.fta.dot.gov - TEAM-Web ( Training Database ) Budget Detail : FY06 5307 FUNDS - Mic...

#### BUDGET( FY06 5307 FUNDS )

ADD DELETE [Icons]

PRJBUD			
OTHER			
<b>PROJECT CONTROL TOTALS:</b>			
	0	\$858,750.00	\$1,050,000.00
<b>DIFFERENCE:</b>			
	0	\$858,750.00	\$1,050,000.00
	0	\$0.00	\$0.00

Scope/ALI:

Std. Desc:

User Desc:

Fuel:

Details:

Reviewer Messages: This budget has no scopes. It must have at least one scope.

2. Use the Details icon to add Scopes and ALIs

- Main Menu - (Home)
- Recipients
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  - Help Desk Information
- Exit

### Project Query Results

Project Number	Description	Rev.
FY06 5307 FUNDS	FY06 Rolling Stock, PM and Planning	0

### Budget Details

Scope: 1110 - BUS - ROLLING STOCK 0

- 100000-CAPITAL
  - 110000-CAPITAL - BUS
    - 111000-BUS - ROLLING STOCK
      - 111100-ENGINEERING & DESIGN - C
      - 111200-BUY REPLACEMENTS - CAPI
      - 111300-BUY EXPANSION - CAPITOL
      - 111301-BUY 40-FT BUS FOR EXPAN**
      - 111302-BUY 35-FT BUS FOR EXPAN
      - 111303-BUY 30-FT BUS FOR EXPAN
      - 111304-BUY <30-FT BUS FOR EXPA
      - 111305-BUY SCHOOL BUS FOR EXI
      - 111306-BUY ARTIC BUS FOR EXPAN
      - 111307-BUY COMMUTER BUS FOR
      - 111308-BUY INTERCITY BUS-EXPA
      - 111309-BUY TROLLEY BUS FOR EX

Scope	Activity	Description
11100	111301	BUY 40-FT BUS FOR EXPANSION

3. Budgets are added by Scope and Activity

Fuel: [ ]

Reviewer Messages: [ ]

- Main Menu - (Home)
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### Project Query Results

Project Number	Description	Rev.
FY06 5307 FUNDS	FY06 Rolling Stock, PM and Planning	0

### Budget Details

Scope: 4420 - METROPOLITAN PLANNING 0

- 100000-CAPITAL
- 300000-OPERATING ASSISTANCE
- 400000-PLANNING
  - 430000-RURAL TRANSIT ASST PROGRA
  - 440000-PLANNING
    - 441000-STATE PLANNING & RESEARC
    - 442000-METROPOLITAN PLANNING
      - 442100-PROGRAM SUPPORT ADMIN
      - 442200-GENERAL DEVELOPMENT/CO
      - 442301-LONGTERM TRANS PLAN - S
      - 442302-LONGTERM TRANS PLAN - P
      - 442400-SHORT RANGE TRANSIT PLA
      - 442500-TRANSPORTATION IMPROVI
      - 442604-ENVIRONMENTAL JUSTICE
      - 442605-ENVIRONMENTAL STREAML

Scope	Activity	Description
11100	111301	BUY 40-FT BUS FOR EXPANSION
11000	117A00	PREVENTIVE MAINTENANCE
44200	442400	SHORT RANGE TRANSIT PLANNI

Buttons: CANCEL, OK

Done Fuel: Reviewer Messages:

4. Additional Scopes and Activities can be added

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### Project Query Results

Project Number	Description	Rev.
FY06 5307 FUND	FY06 Rolling Stock, PM and Planning	0

https://ftateamweb.fta.dot.gov - TEAM-Web ( Training Database ) Budget Detail : FY06 5307 FUND - Microsoft Internet Explorer

#### BUDGET( FY06 5307 FUND )

ADD DELETE [Icons]

PROJECT CONTROL TOTALS:		2	\$858,750.00	\$1,050,000.00
DIFFERENCE:		0	\$858,750.00	\$1,050,000.00

Scope	Scope Description	Qty	FTA Amount	Total Elig. Cost
11100	BUS - ROLLING STOCK	0	\$0.00	\$0.00
44200	METROPOLITAN PLANNING	0	\$0.00	\$0.00
11000	CAPITAL - BUS	0	\$0.00	\$0.00

PROJECT BUDGET 2 \$858,750.00 \$1,050,000.00

Scope/ALI: 11100

Std. Desc: BUS - ROLLING STOCK

User Desc: BUS - ROLLING STOCK

Fuel: [Dropdown]

Reviewer Messages: [Text Area]

Details: [Text Area]

Internet

5. Enter amounts for each activity (FTA and Total Eligible)

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### Project Query Results

Project Number	Description	Rev.
FY06 5307 FUND	FY06 Rolling Stock, PM and Planning	0

https://ftateamweb.fta.dot.gov - TEAM-Web ( Training Database ) Budget Detail : FY06 5307 FUND - Micr...

#### BUDGET( FY06 5307 FUND )

ADD DELETE [Icons]

**PROJECT CONTROL TOTALS:** 2 \$858,750.00 \$1,050,000.00  
**DIFFERENCE:** 0 \$0.00 \$0.00

Scope	Scope Description	Qty	FTA Amount	Total Elig. Cost
11100	BUS - ROLLING STOCK	2	\$518,750.00	\$625,000.00
44200	METROPOLITAN PLANNING	0	\$40,000.00	\$50,000.00
11000	CAPITAL - BUS	0	\$300,000.00	\$375,000.00

PROJECT BUDGET 2 \$858,750.00 \$1,050,000.00

Scope/ALI: 11100 Details:

Std. Desc: BUS - ROLLING STOCK

User Desc: BUS - ROLLING STOCK

Fuel: [Dropdown]

Reviewer Messages:

Done [Icons] Internet

6. Click OK when finished

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### Project Query Results

Project Number	Description	Rev.
FY06 5307 FUNDS	FY06 Rolling Stock, PM and Planning	0

Select Milestones

Project Details				
<b>Project Number:</b>	FY06 5307 FUNDS	FY2006	<b>Cost Center:</b> 660-00	
<b>Application Type:</b>	Electronic		<b>Submitted:</b>	
<b>Entered:</b>	1/7/2006		<b>Awarded:</b>	
<b>Recip. Contact:</b>				
<b>FTA Manager:</b>				
<b>Status:</b>	Pending Submission/App. in Development		<b>Executed:</b>	
<b>Description:</b>	FY06 Rolling Stock, PM and Planning			
<b>Recipient:</b>	1234	ABC Transit	<b>FTA Amount:</b>	\$858,750.00
			<b>Total Elig. Cost:</b>	\$1,050,000.00

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### Project Query Results

Project Number	Description	Rev.
FY06 5307 FUND	FY06 Rolling Stock, PM and Planning	0

https://ftateamweb.fta.dot.gov - FY06 5307 FUND - Read Only - Microsoft Internet...

#### Milestones - Read Only

ADD DELETE [Icons] OK

Read Only

Scope-ALI	Seq No	Milestone Description	Estimated Comp. Date
11100-111301	1	RFP/IFB OUT FOR BID	4/1/06
	2	CONTRACT AWARDED	5/31/06
	3	FIRST VEHICLE DELIVERED	12/31/06
	4	ALL VEHICLES DELIVERED	
	5	CONTRACT COMPLETE	
11000	1	REP/IFB Issued	

Line Item: 111301 buy 40-ft bus for expansion

FTA Amount: \$518,750.00 Total Eligible Cost: \$625,000.00 Quantity: 2

#### Milestone Detailed Description

Publish solicitation for vehicle purchase by 4/1/06. All bids will be due by 5/15/06.

Window Opened in Read Only Mode

4. Click OK when finished

1. Enter Milestones

2. Enter Detailed Description

3. Enter other Milestones and Descriptions

Recipient: 1234 - ABC Transit

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### Project Query Results

Project Number	Description	Rev.
FY06 5307 FUNDS	FY06 Rolling Stock, PM and Planning	0

Select Environmental Findings

Project Details			
<b>Project Number:</b>	FY06 5307 FUNDS	FY2006	<b>Cost Center:</b> 660-00
<b>Application Type:</b>	Electronic		<b>Submitted:</b>
<b>Entered:</b>	1/7/2006		<b>Awarded:</b>
<b>Recip. Contact:</b>			<b>Executed:</b>
<b>FTA Manager:</b>			<b>FTA Amount:</b> \$858,750.00
<b>Status:</b>	Pending Submission/App. in Development		<b>Total Elig. Cost:</b> \$1,050,000.00
<b>Description:</b>	FY06 Rolling Stock, PM and Planning		
<b>Recipient:</b>	1234	ABC Transit	

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Project Number	Description	Rev.
FY06 5307 F	06 Rolling Stock, PM and Planning	0

1. Click the "ADD" button to begin

https://ftateamweb.fta.doc

### FY06 5307 FUNDS

Activity Line Item	# EFs
PRJBUD	0
11100	0
111301	1
44200	0
442400	0
11000	0
117A00	0
OTHER	0

Line Item: 111301 BUY 40-FT BUS FOR EXPANSION

FTA Amount: \$518,750.00 Total Eligible Cost: \$625,000.00 Quantity:

ADD DELETE SAVE CANCEL OK

#### Env. Findings Table

#	Classification
1	Class II(c)

#### Environmental Finding #1 for ALL

Select Categorical Exclusion Type

- Type 15: Alteration for elderly & p
- Type 16: Program Admin. & Operating Assistance
- Type 17: Purchase of vehicles
- Type 18: Track & railbed maintenance/improvements
- Type 19: Install/Purchase maintenance equipment
- Type 20: Promulgation of rules and regulations

The purchase of vehicles by the applicant where the use of these vehicles can be accommodated by existing facilities or by new facilities which themselves are within a CF.

#### Environmental Finding Details/Justification

40,000.00

50,000.00

3. Click OK when finished

2. Select an environmental classification and type

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### Project Query Results

Project Number	Description	Rev.
FY06 5307 FUNDS	FY06 Rolling Stock, PM and Planning	0

Select Fleet Status

Project Details				
<b>Project Number:</b>	FY06 5307 FUNDS	FY2006	<b>Cost Center:</b> 660-00	
<b>Application Type:</b>	Electronic		<b>Submitted:</b>	
<b>Entered:</b>	1/7/2006		<b>Awarded:</b>	
<b>Recip. Contact:</b>				
<b>FTA Manager:</b>				
<b>Status:</b>	Pending Submission/App. in Development		<b>Executed:</b>	
<b>Description:</b>	FY06 Rolling Stock, PM and Planning			
<b>FTA Amount:</b>			<b>Total Elig. Cost:</b>	\$858,750.00
<b>Recipient:</b>	1234	ABC Transit		\$1,050,000.00

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### Project Query Results

https://ftateamweb.fta.dot.gov - Fleet Status (FY06 5307 FUNDS) - Mic...

#### Fleet Status

Fleet Status		Before	Change	After
<b>I. Active Fleet</b>				
A. Peak Requirement		42	2	44
B. Spares		8	0	8
C. Total (A+B)		50	2	52
D. Spare Ratio (B/A)		19.0%	0%	18.2%
<b>II. Inactive Fleet</b>				
A. Contingency		0	0	0
B. Pending Disposal		0	0	0
C. Total (A+B)		0	0	0
<b>III. Total (I.C and II.C)</b>				
		50	2	52

2. Click OK when finished

1. Enter Fleet Status

Entered:	1/7/2006
Recip. Contact:	
FTA Manager:	
Status:	Pending Submission/App. in Development
Description:	FY06 Rolling Stock, PM and Planning
Recipient:	1234 ABC Transit
Cost Center:	660-00
Submitted:	
Awarded:	
Executed:	
FTA Amount:	\$858,750.00
Total Elig. Cost:	\$1,050,000.00

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### Project Query Results

Project Number	Description	Rev.
FY06 5307 FUNDS	FY06 Rolling Stock, PM and Planning	0

Select Comments/Concurrence

### Project Details

<b>Project Number:</b>	FY06 5307 FUNDS	FY2006	<b>Cost Center:</b>	660-00
<b>Application Type:</b>	Electronic		<b>Submitted:</b>	
<b>Entered:</b>	1/7/2006		<b>Awarded:</b>	
<b>Recip. Contact:</b>			<b>Executed:</b>	
<b>FTA Manager:</b>			<b>FTA Amount:</b>	\$858,750.00
<b>Status:</b>	Pending Submission/App. in Development		<b>Total Elig. Cost:</b>	\$1,050,000.00
<b>Description:</b>	FY06 Rolling Stock, PM and Planning			
<b>Recipient:</b>	1234	ABC Transit		

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### Project Query Results

Project Number	Description	Rev.
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#### Comments/Concurrence

Recipient:    
 Project:    
 Amendment:

Comments	Concurrence/Approval	Summary																	
<table border="1"> <thead> <tr> <th>Select Comment Type</th> <th>#</th> </tr> </thead> <tbody> <tr><td>General Review</td><td>0</td></tr> <tr><td>FTA Internal</td><td>0</td></tr> <tr><td>Conditions of Award</td><td>0</td></tr> <tr><td>DOL</td><td>0</td></tr> <tr><td>FTA Project Description</td><td>0</td></tr> </tbody> </table>	Select Comment Type	#	General Review	0	FTA Internal	0	Conditions of Award	0	DOL	0	FTA Project Description	0	Brief Desc: <input type="text"/> Comment On: <input type="text"/> Activity: <input type="text"/>	<table border="1"> <thead> <tr> <th>Application Status</th> </tr> </thead> <tbody> <tr> <td><input checked="" type="checkbox"/> Ready For Proj # Assignment</td> </tr> <tr> <td><input type="checkbox"/> Return to Recipient</td> </tr> <tr> <td><input type="checkbox"/> Ready for FTA Review</td> </tr> <tr> <td><input type="checkbox"/> Application Complete</td> </tr> </tbody> </table>	Application Status	<input checked="" type="checkbox"/> Ready For Proj # Assignment	<input type="checkbox"/> Return to Recipient	<input type="checkbox"/> Ready for FTA Review	<input type="checkbox"/> Application Complete
Select Comment Type	#																		
General Review	0																		
FTA Internal	0																		
Conditions of Award	0																		
DOL	0																		
FTA Project Description	0																		
Application Status																			
<input checked="" type="checkbox"/> Ready For Proj # Assignment																			
<input type="checkbox"/> Return to Recipient																			
<input type="checkbox"/> Ready for FTA Review																			
<input type="checkbox"/> Application Complete																			
Entered: <input type="text"/> Updated: <input type="text"/> Comment By: <input type="text"/>	Comment Text: <input type="text"/>																		

Mark "Ready for Proj. #" and click OK

Done

Description:   
 Recipient:

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### Project Query Results

Project Number	Description	Rev.
FY06 5307 FUNDS	FY06 Rolling Stock, PM and Planning	0

### Project Details

<b>Project Number:</b>	FY06 5307 FUNDS	FY2006	<b>Cost Center:</b>	660-00
<b>Application Type:</b>	Electronic		<b>Submitted:</b>	
<b>Entered:</b>	1/7/2006		<b>Awarded:</b>	
<b>Recip. Contact:</b>			<b>Executed:</b>	
<b>FTA Manager:</b>			<b>FTA Amount:</b>	\$858,750.00
<b>Status:</b>	Pending Submission/App. in Development		<b>Total Elig. Cost:</b>	\$1,050,000.00
<b>Description:</b>	FY06 Rolling Stock, PM and Planning			
<b>Recipient:</b>	1234	ABC Transit		

1 record(s) retrieved.

# Grant Management



# Grant Management

---

- FTA Circular 5010.1C
  - Financial Status Reports (FSR's)
  - Milestone Progress Reports (MPR's)
  - Budget Revisions
  - Grant Closeout
- Activities Performed in the TEAM System

# Financial Status Reports

---

- Due quarterly for grantees in urbanized areas with 200,000 or more in population
- Due annually for grantees in urbanized areas under 200,000 in population
- Due 30 days after end of the previous quarter or fiscal year

# Financial Status Reports

---

- Report on accrual basis
- Include all funds expended for previous quarter, as well as unliquidated obligations
- Total outlays-should be actual costs, not budgeted

# Financial Status Reports

---

- Unliquidated obligations – encumbrance against the grant for which no cash outlay has been recorded
- Examples:
  - Signed contract-no delivery of goods
  - Contract for construction services not yet rendered
  - Open purchase orders

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  - [-] Milestones/Progress
  - [-] Revise Project Budget
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  - [-] New CloseOut Process
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Project Number	Description	Rev.
FY06 5307 FUNDS	FY06 Rolling Stock, PM and Planning	0

https://ftateamweb.fta.dot.gov - TEAM-Web ( Training Database ) FY06 5307 F...

### Financial Status Report

Summary **Financial Status** [Print] [Copy] [Save] [Cancel] [OK] [Read-Only]

Work In Progress    Submit Report

Recipient: 1234 ABC Transit  
 Project: FY06 5307 FUNDS FY06 Rolling Stock, PM and Planning  
 Amendment: FY06 Rolling Stock, PM and Planning  
 Quarterly    Monthly    Other  
 Period: 2006, 1st Quarter  
 Final Report? No, Not Final Report  
 Paper Award?  Yes  No  
 Initial Submission:   
 Last Update:   
 Pre-Award Authority?  Yes  No  
 Report Status: No MS/P Report, No FSR  
 Project Status: Pending Submission

Cost Plan:  
 Type of Rate: N/A  
 Rate: 0.00%  
 Base: \$0.00  
 Total Amount: \$0.00  
 Federal Amount: \$0.00

No quarterly report exist for the selected period: 2006, 1st Quar

2. Select "Financial Status" tab

1. Select Report Period

FTA Manager:	<input type="text"/>	FTA Amount:	\$858,750.00
Status:	Pending Submission/App. in Development	Total Elig. Cost:	\$1,050,000.00
Description:	FY06 Rolling Stock, PM and Planning		
Recipient:	1234 ABC Transit		

- Main Menu - (Home)
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### Project Query Results

Project Number	Description	Rev.
FY06 5307 FUNDS	FY06 Rolling Stock, PM and Planning	0

https://ftateamweb.fta.dot.gov - TEAM-Web ( Training Database ) FY06 5307 F...

#### Financial Status Report

Summary Financial Status **Remarks & Comments** Read-Only

Line: Transactions:	Previous	This Period	Cumulative
A. Total Outlays:	\$0.00	\$0.00	\$0.00
B. Recipient Share of Outlays:	\$0.00	\$0.00	\$0.00
C. Federal Share of Outlays:	\$0.00	\$0.00	\$0.00
D. Total Unliquidated Obligations:			\$0.00
E. Recipient Share of Unliq. Oblig:			\$0.00
F. Federal Share of Unliq. Oblig.:			\$0.00
G. Total Federal Share (C+F):			\$0.00
H. Total Federal Funds:			\$0.00
I. Unobl. Bal. of Fed Funds (H-G):			\$0.00

Description: FY06 Rolling Stock, PM and Planning  
 Recipient: 1234 ABC Transit

4. Select "Remarks & Comments" tab

3. Enter outlays, cumulative amounts and unliquidated obligations

Enter: 660-00  
 ted:  
 d:  
 ed:  
 FTA Amount: \$858,750.00  
 Total Elig. Cost: \$1,050,000.00

- Main Menu - (Home)
- Recipients
  - View/Modify Recipient
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  - Financial Status Report
  - Milestones/Progress
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  - Project Funds/Status
  - New CloseOut Process
  - Project Info
- Funds Control
- Funding Adjustments
- TEAM Administration
- Dynamic Query
- TEAM Documentation
  - Help Desk Information
- Exit

Project Number	Description	Rev.
FY06 5307 FUNDS	FY06 Rolling Stock, PM and Planning	0

Financial Status Report

Summary | Financial Status | Remarks & Comments

Recipient Remarks

FTA Remarks

No quarterly report exist for the selected period: 2006, 1st Quar

Print | Save | Cancel | OK

6. Click OK when finished

5. Enter remarks, if necessary

FTA Manager:		FTA Amount:	\$858,750.00
Status:	Pending Submission/App. in Development	Total Elig. Cost:	\$1,050,000.00
Description:	FY06 Rolling Stock, PM and Planning		
Recipient:	1234	ABC Transit	

# Milestone Progress Reports

---

- Due quarterly for grantees in urbanized areas with 200,000 or more in population
- Due annually for grantees in urbanized areas under 200,000 in population
- Due 30 days after end of the previous quarter or fiscal year

# Milestone Progress Reports

---

- Discuss budget or schedule changes
- Check all milestones for accuracy and make changes as necessary
- Changes in milestone dates should be annotated in the remarks field

# Milestone Progress Reports

---

- Annotate problems with projects-delays, cost variances, and other unforeseen events
- Annotate claims under FTA review for claims over \$100,000 including status of the claims and claims settled during the quarter
- List change orders exceeding \$100,000, pending or settled



- Main Menu - (Home)
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    - Revise Project Budget
    - Project Funds/Status
    - New CloseOut Process
    - Project Info
- Funds Control
  - Funding Adjustments
  - TEAM Administration
  - Dynamic Query
  - TEAM Documentation
    - Help Desk Information
  - Exit

### Project Query Results

Project Number	Description	Rev.
FY06 5307 FUND	FY06 Rolling Stock, PM and Planning	0

#### Milestones Status Report

Summary | Milestone Status

Scope-ALI	Seq No	Milestone Description	Orig. Est. Comp. Date	Rev. Est. Comp. Date	# Rev	Actual Comp. Date
11100-111301	1	RFP/IFB OUT FOR BID	4/1/06	6/1/06	0	
	2	CONTRACT AWARDED	5/31/06	7/31/06	0	
	3	FIRST VEHICLE DELIVERED	12/31/06	7/31/08	0	
	4	ALL VEHICLES DELIVERED	3/31/07	9/30/08	0	
		TE	5/31/07	10/31/08	0	
1100					0	
					0	
					0	

Line Item: 111301 buy 40-ft bus for expansion  
FTA Amount: \$518,750.00 Total Eligible Cost: \$625,000.00 Quantity: 2  
3rd Party Contractor Code: [ ]

Milestone Detail Description: Publish solicitation for vehicles by 4/1/06. All bids will be due by 5/15/06.  
Milestone Progress: Solicitation delayed due to recent retirement of the procurement officer (1/24/06).

1. Enter Milestone progress

2. Enter revised dates

3. Click OK

Recipient: 1234 ABC Transit

# ECHO Drawdowns

---

- Electronic Clearinghouse Operation
  - Process for drawing down grant funds for eligible project expenses
- Documentation
  - Project Expense Reports
  - Vendor Invoices
  - Check/Payment Issuance
- Reconcile with internal accounting system and TEAM funds status

# Grant Closeouts

---

- FTA Circular 5010.1C outlines closeout procedures
- Final FSR in TEAM
  - Final FSR **MUST** match project status screen for funding.
- Final MPR in TEAM
  - Should include a discussion of each activity line item (ALI)
  - Must include a list of equipment purchased with grant funds (Over \$5K)

# Grant Closeouts

---

- Final Budget Revision in TEAM Web
  - Should reflect actual project costs
  - Request to deobligate remaining funds
- Notify Grant Manager that project is ready for closeout and has been entered in TEAM

- Main Menu - (Home)
- [-] Recipients
  - [-] View/Modify Recipient
- [-] Applications
- [-] Review and Approval
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  - [-] FPC Transfer
  - [-] New CloseOut Process
  - [-] Project Info
- [-] Funds Control
- [-] Funding Adjustments
- [-] Civil Rights
- [-] TEAM Administration
- [-] Dynamic Query
  - [-] Help Desk Information
- [-] Exit

### Project Query Results

Project Number	Description	Rev.
TX 00 0001 00		0
		0
		0
		0
		0
		3
		0
		4
		0
		5
		3
		3
		1
		2
		0
		0
		0

**Close Out Reviewer**

<b>Project Executed</b>	<input checked="" type="checkbox"/>
<b>Budget Exists</b>	<input checked="" type="checkbox"/>
<b>Unliquidated Balance</b> This Project has unliquidated funds of \$6302.00 Unliquidated funds shall be deobligated in the full amount specified above. Do you accept? YES <input type="checkbox"/> NO <input type="checkbox"/> <a href="#">Show Control Totals</a>	
<b>Final FSR</b> <u>Note:</u> Financial Status Report is not marked "Final".	
<b>Final Milestone Report</b> <u>Note:</u> Milestone/Progress Report is not marked "Final". Some of the Milestone Progress Report actual completion dates are invalid.	
<input type="button" value="Proceed to Close Out"/> <input type="button" value="Cancel"/>	

6-00

81/2000

25/2000

80/2000

\$32,109,660.00

\$40,131,703.00

# Resources for Grantees



# Resources for Grantees

---

- Triennial Review Workbook
- FTA Website / On-line Workbook
- Triennial Review Toolkit CD
- National Transit Institute (NTI) Training Courses


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 FTA-Only


Fostering independence  
and economic opportunity  
through common sense public transit solutions

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→ ANNUAL  
APPORTIONMENTS OF  
FORMULA PROGRAM  
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## → APPLYING FOR AND MANAGING GRANTS

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### → OVERVIEW

### → ACTIVITY LINE ITEM CODES

### → FTA-GRANTEE SAMPLE AGREEMENTS

- . **October 1, 2005**  
(used for FTA Award  
of Federal Financial  
Assistance)
- . **October 1, 2004**  
(used for FTA Award  
of Federal Financial  
Assistance)
- . **October 1, 2003**  
(used for FTA  
Awards of Federal  
Financial  
Assistance)

### → GRANT FUND TRANSFERS (ECHO)

- . **ECHO Quick  
Reference**
- . **ECHO System  
Guidelines for FTA  
Grantees**
- . **FTA Electronic  
Clearing House  
Operation (ECHO)  
System Guidance**

### → BASIC GRANT REQUIREMENTS

- . **Introduction**
- . **FY2006 Triennial  
Review Workshop  
Workbook**

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# What is the Toolkit?

---

- Interactive application
- Provides a Basic Resource to:
  - Introduce new grantees to the Formula Grant program
  - Train new staff
  - Distribute information to grantees
- Complements existing FTA Guidance

# Toolkit Contents

---

- Frequently Asked Questions
- Resources
- Reference Materials
- Workshop Workbook
- FTA Contacts
- Illustrative Examples



**Federal Transit Administration**  
U.S. Department of Transportation  
Washington, DC

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# Triennial Review Toolkit

Version 2006.1

Release Date: November 1, 2005

- > [about this toolkit](#)
- > [frequently asked questions \(FAQs\)](#)
- > [comments and suggestions](#)
- > [reference materials](#)
- > [Workshop Workbook](#)
- > [illustrative examples](#)

This toolkit is a useful resource for learning the essentials about the Federal Transit Administration's (FTA) Section 5307, Urbanized Area Formula Grant Program. The information presented in this toolkit is updated periodically. For the most recent directions from the FTA Administrator and Program Offices, please refer to the FTA's website [<http://www.fta.dot.gov>].

This toolkit provides the user with a number of tools to learn the basic requirements of FTA's Urbanized Area Formula Grant Program. While the toolkit is useful source of information for all transit professionals, it is intended to particularly serve the needs of those involved with grants management i.e., developing grant applications or managing federally funded projects and funds.

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Version 2006.1

Release Date: November 1, 2005

# NTI Training Courses

---

- Procurement
- Civil Rights
- Intelligent Transportation Systems
- Financial Management
- Safety & Security
- Human Resources



# Triennial Review Process



# Triennial Review

---

- Compliance Review of Section 5307 Recipients
- Mandated by Law
- Broad Review Covering 23 Areas
- Conducted Every Three Years

# Triennial Review Process

---

- Conduct Desk Review
- Prepare Site Visit Agenda Package
  - Part A: Grantee Profile
  - Part B: Level of Effort
  - Part C: Documents Needed
  - Part D: Questions for the Review
- Receive Grantee Input
  - Copies of Documents
  - Written Answers to Questions

# Triennial Review Process

---

- Prepare Draft Report
- Conduct Site Visit
- Finalize Draft Report
- Review of Draft Report
- Prepare Final Report



# Triennial Review Areas



# 1. Legal

---

- **Basic Requirement**
  - Grantees must be eligible and authorized to receive and dispense funds.
  - The authority to take necessary actions on the grantee's behalf must be properly delegated and executed

# 1. Legal

---

- Items Reviewed
  - Designated Recipient Letter
  - Authorizing Resolution
  - Delegation of Authority
  - Annual List of Certifications and Assurances (TEAM)
  - Notification of change in laws and/or litigation

# 1. Legal

---

- Typical Findings
  - Officials Lacking Requisite Authority
  - Lacking Delegation of Authority
  - No/Late Submission of Certifications and Assurances
  - Certifications and Assurances Improperly Completed

## 2. Financial

---

- **Basic Requirement**

Grantees must demonstrate ability to match and manage FTA grant funds and annually conduct an organization-wide audit in accordance with OMB C A-133.

# 2. Financial

---

- Items Reviewed
  - Financial Capacity
    - Sources of non-FTA Funds
    - Adequacy of non-FTA Funds
    - Multi-Year Financial Plans/Projections

# 2. Financial

---

- Items Reviewed
  - Funds Management
    - ECHO Documentation
    - Unliquidated Obligations (Line D of FSR)
    - Cost Allocation Plan
    - Other Project Expenditures (Enhancement, ADA Paratransit)

# 2. Financial

---

- Items Reviewed
  - Audits
    - Single Audit Reports (OMB Circular A-133)
    - Other (GAO, OIG, State/Local Governments, Internal Audits)

# 2. Financial

---

- Typical Findings
  - Financial Capacity
    - No Existing Financial Plan
  - Funds Management
    - Deficiencies with ECHO Drawdowns
    - Unliquidated Obligations Reported Incorrectly
    - Cost Allocation Plan Deficiencies
  - Audit
    - Outstanding Annual Audit Findings

# 3. Technical

---

- **Basic Requirement**

Grantees must have the ability to implement and manage grants properly.



# 3. Technical

---

- Items Reviewed
  - Grant Administration
  - Milestone Progress Reports (MPR)
  - Grant Closeout
  - Force Account Activities
  - Capital Leasing
  - Project Management Plans/Procedures
  - Oversight of Contractors/Subrecipients

# 3. Technical

---

- Typical Findings
  - Progress Reports Lack Required Information
  - Late/No Submission of MPR/FSR Reports
  - Inactive Grants/Late Grant Closeouts
  - Inadequate Oversight of Contractors/Subrecipients

# 4. Satisfactory Continuing Control

---

- **Basic Requirement**

Grantees must maintain control over FTA funded facilities and equipment.



# 4. Satisfactory Continuing Control

---

- Items Reviewed
  - Real Property
  - Equipment Records/Inventory/Reconciliation
  - Property Disposal Activity
  - Spare Ratio
  - Rail Fleet Management Plan

# 4. Satisfactory Continuing Control

---

- Typical Findings
  - Inadequate Property Records
  - Failure to Comply with Property Disposal Requirements
  - Inventory Not Reconciled to Property Records
  - Excessive Spare Ratio

# 5. Maintenance

---

- **Basic Requirement**

Grantees must keep federally funded equipment and facilities in good operating order.



# 5. Maintenance

---

- Items Reviewed
  - Vehicle Maintenance
    - Plans
    - Preventive Maintenance Schedules
    - Inspect Vehicles and Records
  - ADA Equipment Maintenance

# 5. Maintenance

---

- Items Reviewed
  - Facility & Equipment Maintenance
    - Plans
    - Records
  - Warranty Claims
  - Oversight of Contractor's Maintenance Practice
    - Leased Equipment
    - Maintained Under Contract

# 5. Maintenance

---

- Typical Findings
  - Deficient or Inadequate Vehicle Maintenance Plan
    - Rail
    - Bus
    - Paratransit Vehicles
  - Deficient or Inadequate Facility Maintenance Plan

# 5. Maintenance

---

- Typical Findings
  - Late Preventive Maintenance Inspections
    - Vehicles
    - Facilities
    - Equipment
  - Inadequate Contractor Oversight/Supervision

# 6. Procurement

---

- **Basic Requirement**

Grantees will have procurement procedures that reflect applicable state and local law that ensures competitive procurements and conform to Federal law including FTA Circular 4220.1E. Grantees will maintain a contract administration system to ensure contractor performance.

# 6. Procurement

---

- Items Reviewed
  - Policies and Procedures
  - Conflict of Interest
  - Full and Open Competition
  - Geographic Preferences
  - FTA Clauses
  - Contractor Compliance

# 6. Procurement

---

- Items Reviewed
  - Five Year Requirement
  - Cost and Price Analysis
  - Change Orders
  - Time and Materials Contracts
  - Sole Source/Single Bids
  - Piggyback Procurements

# 6. Procurement

---

- Items Reviewed
  - Options
  - Advance Payments and Progress Payments
  - Liquidated Damages
  - Altoona Bus Testing



# 6. Procurement

---

- Typical Findings
  - Required Cost/Price Analysis Lacking
  - Policies and Procedures Not Evident
  - Justification/Documentation for Non-Competitive Award Lacking
  - Required Clauses Missing
  - No Contract Administration System
  - Lacking Full and Open Competition
  - No Record of Procurement History

# 7. DBE

---

- **Basic Requirement**

Grantees must create a level playing field on which DBEs can compete fairly for federally funded contracts.



# 7. DBE

---

- Items Reviewed
  - Designation and Reporting of DBE Officer
  - DBE Program
  - Annual Goal & Semi-Annual Report
  - Monitoring of Work Performed
  - Certification Process
  - Participation in Unified Certification Program (UCP)

*[Question 13]*

# 7. DBE

---

- Items Reviewed
  - TVM Certifications
  - Complaints



# 7. DBE

---

- Typical Findings
  - Goals Not Submitted
  - Uniform Reports Not Submitted
  - No TVM Certification
  - Not Participating in the UCP
  - Inadequate Designation of DBE Officer
  - Not Monitoring Compliance

# 8. Buy America

---

- **Basic Requirement**

Grantees must meet Buy America requirements for procurements of steel, iron or manufactured goods. Special requirements apply to procurements of rolling stock.



# 8. Buy America

---

- Items Reviewed
  - Buy America Certifications
    - Steel and Iron
    - Rolling Stock
  - Pre Award/Post Delivery Audits and Certifications
  - Verification of Domestic Content
  - On-Site Inspection of Manufacturing Process

# 8. Buy America

---

- Typical Findings
  - Pre-Award/Post-Delivery Certifications Lacking
  - Provision Not Included in Solicitation/Contract
  - Improper Verification of Component Content



# 9. Suspension/Debarment

---

- **Basic Requirement**

Grantees are required to ensure that none of the grantee's principals, subrecipients, and third-party contractors and subcontractors are debarred, suspended, ineligible, or voluntarily excluded from participation in federally assisted transactions.

# 9. Suspension/Debarment

---

- Items Reviewed
  - Excluded Parties
  - Lower-tier Transactions
- Typical Findings
  - Clause Not Included in Solicitations/Agreements

# 10. Lobbying

---

- **Basic Requirement**

Grantees and certain contractors/subcontractors must certify compliance with the Restrictions on Lobbying before receiving federal funds.

# 10. Lobbying

---

- Items Reviewed
  - Procurements/Agreements
  - Disclosure on Form LLL & Quarterly Updates

# 10. Lobbying

---

- Typical Findings
  - Certification Not Signed by Contractors, Subgrantees, etc.
  - Certification Not Included in Solicitations/Agreements
  - Failure to Submit Standard Form LLL/Quarterly Update

# 11. Planning/POP

---

- **Basic Requirement**
  - Grantees must participate in the transportation planning process in compliance with FTA requirements.
  - Grantees must comply with public participation requirements.

# 11. Planning/POP

---

- Items Reviewed
  - Planning Certification Review (if applicable)
  - MPO Agreement
  - Grantee Participation in Planning Process
  - Public Participation Process
  - Periodic Review of the Effectiveness of the Process
  - Public Notice
  - Complaints/Lawsuits

# 11. Planning/POP

---

- Typical Findings
  - Public Notice Deficiencies
  - No Current Agreement with MPO
  - Public Participation Deficiencies



# 12. Title VI

---

- **Basic Requirement**

Transit services and related benefits must be distributed in an equitable manner with no discrimination on the grounds of race, color or national origin.



# 12. Title VI

---

- Items Reviewed
  - Title VI Coordination
  - Program Submissions/Updates
  - Monitoring Procedures & Standards
  - Limited English Proficiency (LEP)
  - Environmental Justice Assessment/Fixed Facility Impact Analysis
  - Complaints

# 12. Title VI

---

- Typical Findings
  - No Procedure for Monitoring Level/Quality of Service
  - Lacking Service Standards/Policies and/or Periodic Title VI Assessments
  - Title VI Plan Update Submitted Late
  - Lacking Assessment for LEP

# 13. Public Comment Process for Fare and Service Changes

---

- **Basic Requirement**

Grantees must have a local process to solicit and consider public comments before raising fares or carrying out major reductions in service.



# 13. Public Comment Process for Fare and Service Changes

---

- Items Reviewed
  - Local Process
  - Definition of “Major” Service Reduction
  - Adherence to Local Process
  - Public Meeting Announcements
  - Consideration of Public Input

# 13. Public Comment Process for Fare and Service Changes

---

- Typical Findings
  - No Evidence of Local Process
  - Deficiencies in Process as Defined



# 14. Half Fare

---

- **Basic Requirement**

Fares charged elderly persons, persons with disabilities, and individuals with a Medicare card during non-peak hours must not exceed one-half the rate charged to others during peak hours.



# 14. Half Fare

---

- Items Reviewed
  - Applies to:
    - Fixed-Route Services (including Route Deviation)
    - Service Operated During Peak & Off-Peak
  - Does Not Apply to:
    - Demand Responsive Services
    - Service Operated Only During Peak or Off-Peak
  - Identification Requirements
  - Materials & Training

# 14. Half Fare

---

- Typical Findings
  - Public Information for Medicare Half Fare Incomplete
  - Fares Not Extended to All Services



# 15. ADA

---

- **Basic Requirement**

Grantees must not discriminate against persons with disabilities in the provision of transit service.



# 15. ADA

---

- Items Reviewed
  - Eligibility Decisions
  - Complementary Paratransit Service Requirements
  - Trip Denials/Capacity Constraints/Reservations
  - Other Service Provisions
  - Sensitivity/Proficiency Training

# 15. ADA

---

- Items Reviewed
  - Vehicle/Facility Accessibility
  - Rail Station and Car Requirements
  - Maintenance of Accessibility Equipment
  - Complaints/Lawsuits



# 15. ADA

---

- Typical Findings
  - Complementary Paratransit Service Deficiencies
  - Trip Denials Not Tracked Properly
  - ADA Service Provision Deficiencies
  - Improper Eligibility Determination Process



# 16. Charter Bus

---

- **Basic Requirement**
  - Grantees are prohibited from operating charter service unless a qualified exception applies.
  - Qualified charter service must be incidental
    - Operated only in off-peak periods
    - Must recover fully allocated costs



# 16. Charter Bus

---

- Items Reviewed
  - Definition of Charter Service
  - Public Notice/Willing & Able Determination
  - Allowed Exceptions/Use of Replica Trolleys
  - Incidental Service
  - Effect on Useful Life: Charter Logs/Miles/Hours
  - Complaints

# 16. Charter Bus

---

- Typical Findings
  - Service Operated Outside Allowed Exceptions
  - Inadequate Process for Determining Willing/Able Operators
  - Charter Service Not Incidental
  - Lacking Documentation of Effect on Useful Life

# 17. School Bus

---

- **Basic Requirement**
  - Grantees are prohibited from operating exclusive school bus service.
  - Tripper service must meet specified criteria.



# 17. School Bus

---

- Items Reviewed
  - Statutory Exception
  - Tripper Service
- Typical Findings
  - School Tripper Violations



# 18. NTD

---

- **Basic Requirement**

Grantees must collect, record and report required data annually according to FTA's procedures.



# 18. NTD

---

- Items Reviewed
  - Timely Report Submission
  - Reporting Exemption/Waiver
  - CEO Certification
  - Certifications of Passenger Mile Data Collection Procedures
  - Auditor's Statement for Urbanized Area Formula Data

# 18. NTD

---

- Typical Findings
  - Late NTD Annual Report Submission
  - Safety & Security Data Reporting Deficiencies



# 19. Safety and Security

---

- Basic Requirement
  - Grantees must certify that one percent of Urbanized Area Formula Funds are spent on security projects.
  - FTA can investigate operations for safety conditions.
  - FTA encourages safety and security awareness.

# 19. Safety and Security

---

- Items Reviewed
  - Safety
    - Safety Policies and Program Plans
    - Incident Investigation/Hazard Identification
    - Safety Accountability
    - Safety Training
    - Safety Data Reporting (NTD)

# 19. Safety and Security

---

- Items Reviewed
  - Security and Emergency Management
    - Security Expenditures
    - Management and Accountability
    - Security Problem Identification
    - Employee Selection
    - Training Programs
    - Public Awareness
    - Audits and Drills

# 19. Safety and Security

---

- Items Reviewed
  - Security and Emergency Management (*continued*)
    - Document Control
    - Access Control
    - Homeland Security



# 19. Safety and Security

---

- Typical Advisory Comments
  - Security Information Not Given to Passengers
  - No Security Audits/Assessments
  - No Security Plan (Non-RFGS Mode)
  - No Criminal Background Checks
  - No Safety Policy/Plan

# 20. Drug-Free Workplace

---

- **Basic Requirement**

Grantees must maintain a drug-free workplace and establish an on-going drug-free awareness program.

# 20. Drug-Free Workplace

---

- Items Reviewed
  - Applies to All Employees of the Grantee
  - Written Policy
  - On-Going Awareness Program
  - Timely Notification to FTA of Conviction in the Workplace

# 20. Drug-Free Workplace

---

- Typical Findings
  - Policy Missing Required Elements
  - No Written Policy
  - No On-Going Awareness Program

# 21. Drug & Alcohol Program

---

- **Basic Requirement**

Drug and Alcohol testing program must be in place for all grantees with safety sensitive employees.



# 21. Drug & Alcohol Program

---

- Items Reviewed
  - Applies to Safety Sensitive Employees
  - Grantee and Contractor Programs
  - Policies Include Required Elements
  - Random Testing Rates/Procedures
  - Post-Accident Determinations

# 21. Drug & Alcohol Program

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- Items Reviewed
  - Administrative Procedures & MIS Reports
  - Employee and Supervisor Training
  - Monitoring/Oversight of Contractors & Vendors

# 21. Drug & Alcohol Program

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- Typical Findings
  - Inadequate Contractor/Program Vendor Monitoring
  - Policy Lacking Required Elements
  - Policy Out of Date
  - Random Testing Rate Below Requirements

# 22. EEO

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- **Basic Requirement**

Grantees must assure that no persons be subject to discrimination in employment.

# 22. EEO

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- Items Reviewed
  - Designation and Reporting of EEO Officer
  - EEO Program
  - Complaints
  - Workforce Utilization
  - Reasonable Accommodations (ADA)

# 22. EEO

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- Typical Findings
  - EEO Program Not Submitted/Expired
  - Program Inadequately Implemented

# 23. ITS Architecture

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- **Basic Requirement**

- FTA “Final Policy on Architecture and Standards Conformity” issued in April 2001.
- Require states and metropolitan areas to develop a regional ITS architecture by April 2005 if they intend to use Federal funds for ITS deployment.
- Grantees’ Intelligent Transportation Systems (ITS) projects must conform to National ITS Architecture and USDOT adopted ITS Standards.

# 23. ITS Architecture

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- Items Reviewed
  - Eligible ITS Projects
  - Regional ITS Architecture
  - Process for Conducting Systems Engineering Analysis of ITS Projects



# 23. ITS Architecture

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- Typical Findings
  - Lacking Established Systems Engineering Analysis/Process Not Applied
  - No Local Plan/Participation in Local Plan
  - ITS Policy Requirements Not Met

